

#2

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No. *2-28-01*  
16159.031001; P5754

In Re Application Of: James C. LIU et al.

Serial No.

Filing Date

Examiner

Group Art Unit

Title: **METHOD AND SYSTEM FOR TRUSTED TRANSACTION APPROVAL**

JC857 U.S. PRO  
09/995545  
11/26/01

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).



22511

PATENT TRADEMARK OFFICE

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
16159.031001; P5754

In Re Application Of: James C. LIU et al.

Serial No.

Filing Date

Examiner

Group Art Unit

Title: METHOD AND SYSTEM FOR TRUSTED TRANSACTION APPROVAL

JP017 U.S. PRO  
09/95545  
11/28/01

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0591 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

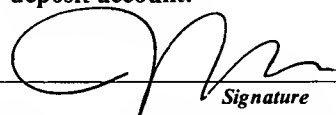
**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) on _____ (Date)
_____ <i>Signature</i>
_____ <i>Typed or Printed Name of Person Signing Certificate</i>

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.
_____ <i>Signature of Person Mailing Correspondence</i>
_____ <i>Typed or Printed Name of Person Mailing Correspondence</i>

\*This certificate may only be used if paying by deposit account.

  
*Signature*


Dated:

11/28/01

Jonathan P. Osha, Reg. No. 33,986  
ROSENTHAL & OSHA L.L.P.  
700 Louisiana, Suite 4550  
Houston, Texas 77002

Telephone: (713) 228-8600  
Facsimile: (713) 228-8778

CC:

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>16159.031001; P5754</b>		Application Number			
				Applicant(s) <b>James C. LIU et al.</b>				<div style="text-align: right;">  </div>	
				Filing Date		Group Art Unit			
<b>U.S. PATENT DOCUMENTS</b>									
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE		
	A1	5,917,913	06/29/1999	Wang	380	25	12/04/1996		
	A2	6,018,724	01/25/2000	Arent	705	44	06/30/1997		
	A3	6,040,783	03/21/2000	Houvener et al.	340	825.31	11/10/1997		
	A4	6,175,922 B1	01/16/2001	Wang	713	182	03/13/2000		
	A5	6,282,656 B1	08/28/2001	Wang	713	201	04/27/1998		
<b>FOREIGN PATENT DOCUMENTS</b>									
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation		
							YES	NO	
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>									
EXAMINER					DATE CONSIDERED				
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): James C. LIU et al.

Docket No.

16159.031001; P5754

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: METHOD AND SYSTEM FOR TRUSTED TRANSACTION APPROVAL

I hereby certify that the following correspondence:

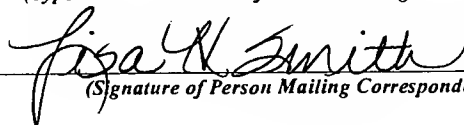
Information Disclosure Statement

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, P. O. Box 2327, Arlington, Virginia 22202, on November 28, 2001.

Lisa H. Smith

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

EV 014256403 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

